

Form PTO-1390  
(Rev. 01-2003)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER  
SAE-036

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO.  
10/516,621 (unofficial)

INTERNATIONAL APPLICATION NO.  
PCT/JP03/07389

INTERNATIONAL FILING DATE  
June 11, 2003

PRIORITY DATE CLAIMED  
June 14, 2002

TITLE OF INVENTION  
AQUEOUS RESIN DISPERSION COMPOSITION AND PROCESS FOR PRODUCING THE SAME

DATE  
March 1, 2005

APPLICANT(S) FOR DO/EO/US  
Tatsuo TSUNOKA, Takafumi MASUDA, Shoji MAEKAWA and Kazuhiro HATANO

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).  
(\* pages and \* sheets of drawings (Fig(s). \*-\*)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

U.S. Application No. 10/516,621 (unofficial)		International Application No. PCT/JP03/07389		Attorney's Docket No. SAE-036	
				CALCULATIONS	PTO USE ONLY
21.[ ] The following fees are submitted:  <div style="margin-left: 40px;">           Basic National Stage Fee            \$300.00             National Stage Search Fee           \$500.00             National Stage Examination Fee    \$200.00         </div> <div style="text-align: right; margin-right: 40px;">           TOTAL FEE FOR ENTERING U.S. NATIONAL STAGE    =        \$         </div>					
Surcharge of \$130.00 for furnishing the oath or declaration later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					
National Stage Application Size Fee - If the specification and drawings exceed 100 sheets, the application size fee due is \$250.00 for each additional 50 sheets or fraction thereof.					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	- 20		x \$ 50.00	\$ 0.00	
Indep. claims	- 3		x \$ 200.00	\$ 0.00	
Multiple dependent claim(s) (if applicable)			+ \$ 360.00	\$ 0.00	
TOTAL OF ABOVE CALCULATIONS    =				\$ 0.00	
Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ 0.00	
SUB TOTAL    =				\$ 0.00	
Processing fee \$130.00 for furnishing the English translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ 0.00	
TOTAL NATIONAL FEE    =				\$ 0.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 0.00	
TOTAL FEES ENCLOSED    =				\$ 0.00	
				Amount to be refunded:	\$
				charged	\$
a. [ ] Check in the amount of <u>\$*.00</u> to cover the above fees is enclosed.  b. [ ] Please charge my Deposit Account No. <u>111833</u> in the amount of \$ _____ to cover the above fees.  c. [XX] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>111833</u> .  NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to review (37 CFR 1.137(a) or (b) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: KUBOVCIK & KUBOVCIK The Farragut Building Suite 710 900 17th Street, N.W. Washington, D.C. 20006				<div style="text-align: center;">         Signature        Keiko Tanaka Kubovcik        Name        40,428        Registration Number        March 1, 2005        Date     </div>	

KTK/jbf

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Mail Stop PCT

In re the application of:

Tatsuo TSUNEKA et al.

International Application No. PCT/JP03/07389

I.A. Filing Date: June 11, 2003

U.S. Serial Number: 10/516,621 (unofficial)

Atty. Dkt. Number: SAE-036

Customer No.: 20374

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. §1.97(b)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

March 1, 2005

Sir:

The attention of the Patent and Trademark Office is hereby directed to the documents listed on the attached Form PTO-1449. One copy of each document is attached.

No fee or statement is required in connection with this Information Disclosure Statement, since it is being submitted prior to the last of (1) issuance of a first official action on the merits and (2) expiration of the three month period following filing of the above-captioned application.

Documents UA to UC and FA are in the English language. Therefore, no concise explanation of the relevance of the documents is believed to be required under 37 C.F.R. §1.98.

Documents FB to FG are not in the English language. However, the concise explanation of the relevance of the documents required under 37 C.F.R. §1.98 is believed to be satisfied by the submission of English language abstracts thereof.

Documents UA to UC and FA to FF are cited in the International Search Report of the present application. A copy of the search report was submitted to the Office on December 3, 2004. Please note an Examiner's obligation to consider documents cited in an International Search Report according to the provisions of MPEP §1893.03(g).

The Commissioner is authorized to charge our Deposit Account No. 111833 for any fee which is deemed by the Patent and Trademark Office to be required to effect consideration of this statement.

Respectfully submitted,

KUBOVCIK & KUBOVCIK



Keiko Tanaka Kubovcik  
Reg. No. 40,428

Atty. Case No. SAE-036

U.S. Patent Appln. S.N. 10/516,621 (unofficial)  
INFORMATION DISCLOSURE STATEMENT

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KTK/jbf  
Attachments: PTO-1449  
Ten Documents

<p>INFORMATION DISCLOSURE STATEMENT</p> <p>PTO-1449</p>	<p>Atty. Docket No. SAE-036</p>	<p>Serial No. 10/516,621 (unofficial)</p>
	<p>Applicant: Tatsuo TSUNEKA et al.</p>	
	<p>Filing Date: December 3, 2004</p>	<p>Group: Unknown</p>

U.S. PATENT DOCUMENTS

Examiner's Initial		Document No.	Date	Name	Class	Sub Class	Filing Date If appropriate
	UA	5,319,032 A	06/07/94	Martz et al.	525	301	
	UB	5,397,602 A	03/14/95	Martz et al.	427	343.5	
	UC	5,539,043 A	07/23/96	Kimura et al.	524	504	
	UD						
	UE						
	UF						
	UG						

FOREIGN PATENT DOCUMENTS

Examiner's Initial		Document No.	Date	Country	Translation Yes/No/Partial
	FA	0 874 031 A1	10/28/98	EP	
	FB	10-330563 A	12/15/98	JP	Abstract
	FC	2001-226545 A	08/21/01	JP	Abstract
	FD	2001-163984 A	06/19/01	JP	Abstract
	FE	7-102134 A	04/18/95	JP	Abstract
	FF	7-26088 A	01/27/95	JP	Abstract
	FG	6-80845 A	03/22/94	JP	Abstract

OTHER DOCUMENTS

Examiner's Initial		
	DA	
	DB	
	DC	

Examiner:	Date Considered:
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